

CRD® or IARD(TM) System Current As Of: 04/09/2019

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: MEMBERREG

Request Submitted: 4/10/2019 11:15:08 AM

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## Notice

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**Details for Request#:** 22408306  
**Report:** Snapshot - Individual  
**Requested By:** PM

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	1927084
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	Requesting Regulator
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes

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Individual 1927084 - FICETO, TODD MICHAEL

## Administrative Information

## Composite Information

Full Legal Name FICETO, TODD MICHAEL

State of Residence CA

Active Employments &lt;&lt;No Current Active Employments found for this Individual.&gt;&gt;

Reportable Disclosures? Yes

Statutory Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

## Personal Information

Individual CRD# 1927084

Other Names Known By &lt;&lt;No Other Names found for this Individual.&gt;&gt;

Year of Birth 1966

## Registrations with Current Employer(s)

&lt;&lt;No Registrations with Current Employer(s) found for this Individual.&gt;&gt;

## Registrations with Previous Employer(s)

From 05/01/1995 To 09/29/2009 HUNTER WORLD MARKETS, INC.(38755)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	09/23/1997	T_NOREG	
AZ	AG	12/17/1997	T_NOREG	
CA	AG	10/01/2009	TERMED	04/11/1996
CA	RA	03/24/2003	T_NOU5	05/15/2002
CA	RA	05/15/2002	TRANS_ERROR	
CT	AG	02/03/1998	T_NOREG	
DC	AG	12/31/2002	T_NOU5	03/30/1998
DE	AG	12/31/1997	TERMED	07/07/1997
FINRA	ET	10/01/2009	TERMED	11/27/2000
FINRA	FN	10/01/2009	T_NOREG	
FINRA	FN	10/01/2009	T_NOREG	
FINRA	GP	10/01/2009	TERMED	03/25/1996
FINRA	GS	10/01/2009	TERMED	03/25/1996
FINRA	OP	10/01/2009	T_NOREG	
FINRA	RS	10/01/2009	T_NOREG	
FINRA	ET	10/01/2000	T_NOREG	
FL	AG	10/01/2009	TERMED	10/27/1997
GA	AG	12/31/1997	TERMED	07/09/1997
HI	AG	09/05/2002	T_NOREG	
HI	AG	12/23/1997	T_NOREG	

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## Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
IA	AG	12/31/2002	TERMED	01/30/1998
ID	AG	07/25/1997	T_NOREG	
IL	AG	10/01/2009	TERMED	04/07/2003
IL	AG	12/31/1997	TERMED	02/26/1997
IN	AG	12/31/2002	TERMED	07/14/1997
MA	AG	10/01/2009	TERMED	01/29/1998
MD	AG	03/26/1998	T_NOREG	
ME	AG	03/31/1998	T_NOREG	
MI	AG	12/31/1997	TERMED	08/28/1997
MN	AG	12/31/2002	TERMED	04/09/1998
MO	AG	04/02/1998	T_NOREG	
MS	AG	05/05/1998	T_NOREG	
MT	AG	04/02/2004	T_NOREG	
MT	AG	12/31/1997	TERMED	04/24/1997
NE	AG	04/10/1998	T_NOREG	
NH	AG	01/30/1998	T_NOREG	
NJ	AG	10/01/2009	TERMED	05/12/1997
NM	AG	12/31/2002	TERMED	04/08/2002
NQX	ET	10/01/2009	TERMED	07/12/2006
NQX	GP	10/01/2009	TERMED	07/12/2006
NQX	GS	10/01/2009	TERMED	07/12/2006
NV	AG	12/31/1997	TERMED	07/02/1997
NY	AG	10/01/2009	TERMED	07/06/2000
NYSE-ARCA	GS	10/01/2009	TERMED	05/25/2004
OH	AG	08/26/1997	T_NOREG	
PA	AG	12/31/1997	TERMED	07/15/1997
RI	AG	12/31/1997	TERMED	06/19/1997
SC	AG	12/31/1997	TERMED	10/31/1997
TN	AG	04/24/1998	T_NOREG	
TX	AG	10/01/2009	TERMED	02/17/1998
UT	AG	12/31/1997	TERMED	02/27/1997
VA	AG	12/31/2002	TERMED	06/12/1998
VT	AG	05/08/1998	T_NOREG	
WA	AG	10/01/2009	TERMED	02/27/1998
WI	AG	12/31/1997	TERMED	02/26/1997

From 10/01/2002 To 03/26/2003 TODD MICHAEL ASSET MANAGEMENT,LLC(123814)

## Reason for Termination

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	RA	03/26/2003	T_NOU5	12/10/2002

From 02/15/1996 To 03/01/1996 BIRCHTREE FINANCIAL SERVICES, INC.(15014)

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## Administrative Information

## Registrations with Previous Employer(s)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	07/01/1996	TERMED	02/23/1996
FINRA	GP	07/01/1996	TERMED	02/23/1996
FINRA	GS	07/01/1996	TERMED	02/23/1996
FL	AG	07/01/1996	TERMED	03/05/1996
MN	AG	07/01/1996	TERMED	02/28/1996

From 05/15/1995 To 12/13/1995 BROKERS TRANSACTION SERVICES, INC.(17587)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	12/15/1995	TERMED	05/19/1995
AZ	AG	12/15/1995	TERMED	05/19/1995
CA	AG	12/15/1995	TERMED	05/19/1995
CO	AG	12/15/1995	TERMED	06/19/1995
FINRA	GP	12/15/1995	T_NOREG	
FINRA	GS	12/15/1995	TERMED	05/19/1995
FL	AG	12/15/1995	TERMED	05/26/1995
IL	AG	12/15/1995	TERMED	05/19/1995
IN	AG	12/15/1995	TERMED	05/19/1995
MN	AG	12/15/1995	TERMED	07/05/1995
MO	AG	12/15/1995	TERMED	05/31/1995
NJ	AG	12/15/1995	TERMED	06/01/1995
NY	AG	12/15/1995	TERMED	05/19/1995
OH	AG	12/15/1995	TERMED	05/19/1995

From 11/01/1994 To 04/01/1995 SMITH, BENTON &amp; HUGHES, INC.(20877)

Reason for Termination Voluntary

Termination Comment Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	04/28/1995	TERMED	11/16/1994
FINRA	GP	04/28/1995	T_NOREG	
FINRA	GS	04/28/1995	TERMED	11/10/1994

From 03/09/1994 To 11/07/1994 LA JOLLA CAPITAL CORPORATION(24341)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	11/07/1994	TERMED	03/22/1994
CA	AG	11/07/1994	TERMED	03/22/1994
CO	AG	11/07/1994	TERMED	04/11/1994
FINRA	GP	11/07/1994	T_NOREG	
FINRA	GS	11/07/1994	TERMED	03/22/1994
FL	AG	11/07/1994	TERMED	03/29/1994

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## Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
IL	AG	11/07/1994	TERMED	03/22/1994
IN	AG	11/07/1994	TERMED	03/22/1994
MA	AG	11/07/1994	TERMED	03/22/1994
MD	AG	11/07/1994	TERMED	04/28/1994
MI	AG	11/07/1994	TERMED	03/22/1994
MN	AG	11/07/1994	TERMED	10/14/1994
NJ	AG	11/07/1994	TERMED	03/23/1994
NY	AG	11/07/1994	TERMED	03/22/1994
OH	AG	11/07/1994	TERMED	03/23/1994
PA	AG	11/07/1994	TERMED	03/22/1994
TX	AG	11/07/1994	TERMED	03/22/1994

From 08/01/1993 To 03/01/1994 BURNETT, GREY &amp; CO., INC.(23430)

Reason for Termination Voluntary

Termination Comment Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	03/15/1994	TERMED	04/13/1993
CO	AG	03/15/1994	TERMED	07/19/1993
CT	AG	03/15/1994	TERMED	07/19/1993
FINRA	GS	03/15/1994	TERMED	04/13/1993
FINRA	GP	11/15/1993	PURGED	
FL	AG	03/15/1994	TERMED	04/21/1993
IL	AG	03/15/1994	TERMED	04/13/1993
IN	AG	03/15/1994	TERMED	04/13/1993
MA	AG	03/15/1994	TERMED	04/13/1993
MD	AG	03/15/1994	TERMED	07/19/1993
MI	AG	03/15/1994	TERMED	07/19/1993
NJ	AG	03/15/1994	TERMED	04/23/1993
NY	AG	03/15/1994	TERMED	04/13/1993
OH	AG	03/15/1994	TERMED	04/14/1993
OR	AG	12/31/1993	TERMED	07/19/1993
PA	AG	03/15/1994	TERMED	07/28/1993
TX	AG	12/31/1993	TERMED	07/27/1993
WA	AG	12/31/1993	TERMED	07/19/1993

From 03/01/1992 To 09/01/1992 FIRST AMERICAN BILTMORE SECURITIES, INC.(17585)

Reason for Termination Permitted to Resign

Termination Comment Permitted to Resign

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	03/15/1993	TERMED	05/12/1992
FINRA	GP	03/15/1993	T_NOREG	
FINRA	GS	03/15/1993	TERMED	02/18/1992
FL	AG	03/15/1993	TERMED	02/18/1992
IN	AG	03/15/1993	TERMED	05/12/1992

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## Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NY	AG	03/15/1993	TERMED	02/18/1992
OH	AG	03/15/1993	TERMED	02/18/1992

From 10/01/1991 To 03/01/1992 CORPORATE SECURITIES GROUP, INC.(11025)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	02/18/1992	TERMED	08/29/1991
FINRA	GP	02/18/1992	T_NOREG	
FINRA	GS	02/18/1992	TERMED	08/28/1991
FL	AG	02/18/1992	TERMED	08/28/1991
NY	AG	02/18/1992	TERMED	08/28/1991
OH	AG	02/18/1992	TERMED	08/28/1991
PA	AG	02/18/1992	TERMED	01/14/1992

From 10/01/1990 To 10/01/1991 ROBERT TODD FINANCIAL CORP.(7423)

Reason for Termination Other

Termination Comment OTH; OWES \$6,000 IN COMMISSION ADVANCES

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	08/28/1991	TERMED	08/21/1990
CO	AG	08/28/1991	TERMED	05/24/1990
FINRA	GP	08/28/1991	T_NOREG	
FINRA	GS	08/28/1991	TERMED	05/15/1990
FL	AG	08/28/1991	TERMED	04/09/1991
IL	AG	08/28/1991	TERMED	05/24/1990
MD	AG	08/28/1991	TERMED	07/30/1990
MI	AG	08/28/1991	TERMED	04/08/1991
NC	AG	08/28/1991	TERMED	09/10/1990
NJ	AG	08/28/1991	TERMED	05/15/1990
NY	AG	08/28/1991	TERMED	05/15/1990
OH	AG	08/28/1991	TERMED	06/06/1990
PA	AG	08/28/1991	TERMED	05/24/1990
TX	AG	08/28/1991	TERMED	04/25/1991

From 01/23/1990 To 05/10/1990 VANDERBILT SECURITIES, INC.(14280)

Reason for Termination Voluntary

## Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	06/04/1990	TERMED	01/25/1990
IL	AG	06/04/1990	TERMED	01/25/1990
KY	AG	06/04/1990	TERMED	02/15/1990
NJ	AG	06/04/1990	TERMED	02/09/1990
NY	AG	06/04/1990	TERMED	01/25/1990
OH	AG	06/04/1990	TERMED	02/15/1990
PA	AG	06/04/1990	TERMED	01/25/1990

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**Administrative Information****Registrations with Previous Employer(s)**

From 06/06/1989 To 01/23/1990 J. T. MORAN &amp; CO., INC.(15655)

**Reason for Termination** Voluntary**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	02/14/1990	TERMED	08/22/1989
IL	AG	02/14/1990	TERMED	12/11/1989
KY	AG	02/14/1990	TERMED	01/08/1990
NJ	AG	02/14/1990	TERMED	09/06/1989
NY	AG	02/14/1990	TERMED	08/30/1989
OH	AG	02/14/1990	TERMED	09/21/1989
PA	AG	02/14/1990	TERMED	09/06/1989

From 01/13/1989 To 09/07/1989 FIRST INVESTORS CORPORATION(305)

**Reason for Termination** Voluntary**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	IR	09/20/1989	TERMED	08/22/1989
OH	AG	09/20/1989	TERMED	08/23/1989

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Individual 1927084 - FICETO, TODD MICHAEL

**Administrative Information****Professional Designations**

&lt;&lt;No Professional Designations found for this Individual.&gt;&gt;

**Employment History**

From	05/1995	To	Present	<b>Name</b>	VMR CAPITAL MARKETS US
				<b>Location</b>	LOS ANGELES, CA, United States
				<b>Position</b>	PRESIDENT - PRESIDENT
				<b>Investment Related</b>	Yes
From	10/2002	To	03/2003	<b>Name</b>	TODD MICHAEL ASSET MANAGEMENT, LLC
				<b>Location</b>	LOS ANGELES, CA, United States
				<b>Position</b>	MEMBER
				<b>Investment Related</b>	Yes
From	02/1996	To	03/1996	<b>Name</b>	BIRCHTREE FINANCIAL SERVICES, INC.
				<b>Location</b>	LOS ANGELES, CA, United States
				<b>Position</b>	NOT PROVIDED
				<b>Investment Related</b>	Yes
From	05/1995	To	12/1995	<b>Name</b>	BROKERS TRANSACTION SERVICES, INC.
				<b>Location</b>	DALLAS, TX, United States
				<b>Position</b>	NOT PROVIDED
				<b>Investment Related</b>	Yes
From	11/1994	To	04/1995	<b>Name</b>	SMITH, BENTON & HUGHES, INC.
				<b>Location</b>	LOS ANGELES, CA, United States
				<b>Position</b>	OTHER - STOCK BROKER
				<b>Investment Related</b>	Yes
From	03/1994	To	11/1994	<b>Name</b>	PACIFIC CORTEZ SECURITIES INCORPORATED
				<b>Location</b>	MARINA DEL REY, CA, United States
				<b>Position</b>	OTHER - STOCK BROKER
				<b>Investment Related</b>	Yes
From	08/1993	To	03/1994	<b>Name</b>	BURNETT, GREY & CO., INC.
				<b>Location</b>	SAN DIEGO, CA, United States
				<b>Position</b>	OTHER - STOCK BROKER
				<b>Investment Related</b>	Yes
From	01/1993	To	08/1993	<b>Name</b>	BURNETT GREY & CO INC.
				<b>Location</b>	MARINA DEL REY, CA, United States
				<b>Position</b>	OTHER - BR. MANAGER

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## Administrative Information

## Employment History

			<b>Investment Related</b>	No
From	09/1992	To	01/1993	
		<b>Name</b>	FIRST AMERICAN BALTIMORE SECURITIES	
		<b>Location</b>	MARINA DEL REY, CA, United States	
		<b>Position</b>	OTHER - BRANCH MANAGER	
		<b>Investment Related</b>	No	
From	03/1992	To	09/1992	
		<b>Name</b>	FIRST AMERICAN BILTMORE SECURITIES, INC.	
		<b>Location</b>	CINCINNATI, OH, United States	
		<b>Position</b>	OTHER - BRANCH MANAGER	
		<b>Investment Related</b>	Yes	
From	10/1991	To	03/1992	
		<b>Name</b>	CORPORATE SECURITIES GROUP, INC.	
		<b>Location</b>	CINCINNATI, OH, United States	
		<b>Position</b>	OTHER - STOCK BROKER	
		<b>Investment Related</b>	Yes	
From	10/1990	To	10/1991	
		<b>Name</b>	ROBERT TODD FINANCIAL CORP.	
		<b>Location</b>	CINCINNATI, OH, United States	
		<b>Position</b>	OTHER - BRANCH MANAGER	
		<b>Investment Related</b>	Yes	
From	01/1990	To	11/1990	
		<b>Name</b>	ROBERT TODD FINANCIAL CORP	
		<b>Location</b>	GARDEN CITY, NY, United States	
		<b>Position</b>	OTHER - STOCK BROKER	
		<b>Investment Related</b>	No	
From	01/1990	To	05/1990	
		<b>Name</b>	VANDERBILT SECURITIES, INC.	
		<b>Location</b>	NEW YORK, NY, United States	
		<b>Position</b>	NOT PROVIDED	
		<b>Investment Related</b>	Yes	
From	06/1989	To	01/1990	
		<b>Name</b>	J. T. MORAN & CO., INC.	
		<b>Location</b>	GARDEN CITY, NY, United States	
		<b>Position</b>	OTHER - STOCK BROKER	
		<b>Investment Related</b>	Yes	
From	01/1989	To	09/1989	
		<b>Name</b>	FIRST INVESTORS CORPORATION	
		<b>Location</b>	COLUMBUS, OH, United States	
		<b>Position</b>	NOT PROVIDED	
		<b>Investment Related</b>	Yes	

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## Administrative Information

## Office of Employment History

From 05/1995 To 09/2009

Name HUNTER WORLD MARKETS, INC.(38755)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
207994			Yes	No	05/01/1995	09/29/2009	Located At
	Address 9300 WILSHIRE BLVD, PENTHOUSE SUITE BEVERLY HILLS, CA 90212 United States						
			No	No	05/01/1995	05/01/1995	Located At
	Address 9300 WILSHIRE BLVD, PENTHOUSE SUITE BEVERLY HILLS, CA 90212 United States						

From 10/2002 To 03/2003

Name TODD MICHAEL ASSET MANAGEMENT,LLC(123814)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	10/01/2002	03/26/2003	Located At
	Address 1901 AVENUE OF THE STARS, #1950 LOS ANGELES, CA 90067-4308 United States						

From 02/1996 To 03/1996

Name BIRCHTREE FINANCIAL SERVICES, INC.(15014)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	02/15/1996	03/01/1996	Located At
	Address 1900 AVENUE OF THE STARS #755 LOS ANGELES, CA 90067 United States						

From 05/1995 To 12/1995

Name BROKERS TRANSACTION SERVICES, INC.(17587)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	05/15/1995	12/13/1995	Located At

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## Administrative Information

## Office of Employment History

## Office of Employment Address

Address 1201 ELM STREET STE 4300  
DALLAS, TX 75270-2180 United States

From 11/1994 To 04/1995

Name SMITH, BENTON &amp; HUGHES, INC.(20877)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	11/01/1994	04/01/1995	Located At

Address 10850 WILSHIRE BLVD #1170  
LOS ANGELES, CA 90024 United States

From 03/1994 To 11/1994

Name LA JOLLA CAPITAL CORPORATION(24341)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/09/1994	11/07/1994	Located At

Address 330 WASHINGTON BLVD #507  
MARINA DEL REY, CA 90292 United States

From 08/1993 To 03/1994

Name BURNETT, GREY &amp; CO., INC.(23430)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	08/01/1993	03/01/1994	Located At

Address  
SAN DIEGO, CA United States

From 03/1992 To 09/1992

Name FIRST AMERICAN BILTMORE SECURITIES, INC.(17585)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office

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Individual 1927084 - FICETO, TODD MICHAEL

## Administrative Information

## Office of Employment History

## Office of Employment Address

No No 03/01/1992 09/01/1992 Located At

## Address

CINCINNATI, OH United States

From 10/1991 To 03/1992

Name CORPORATE SECURITIES GROUP, INC.(11025)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	10/01/1991	03/01/1992	Located At

Address 8044 MONTGOMERY RD STE 254  
CINCINNATI, OH 45202 United States

From 10/1990 To 10/1991

Name ROBERT TODD FINANCIAL CORP.(7423)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	10/01/1990	10/01/1991	Located At

Address 8044 MONTGOMERY BLVD  
CINCINNATI, OH 45236 United States

From 01/1990 To 05/1990

Name VANDERBILT SECURITIES, INC.(14280)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	01/23/1990	05/10/1990	Located At

Address 43 BROAD ST  
NEW YORK, NY 10004 United States

From 06/1989 To 01/1990

Name J. T. MORAN &amp; CO., INC.(15655)

Independent Contractor No

## Office of Employment Address

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Individual 1927084 - FICETO, TODD MICHAEL

## Administrative Information

## Office of Employment History

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	06/06/1989	01/23/1990	Located At
Address 107 CHARLES LINDBERGH BLVD GARDEN CITY, NY 11530 United States							

From 01/1989 To 09/1989

Name FIRST INVESTORS CORPORATION(305)

Independent Contractor No

## Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	01/13/1989	09/07/1989	Located At
Address 4284 NORTH HIGH STREET COLUMBUS, OH 43214 United States							

## Other Business

&lt;&lt;No Other Business found for this Individual.&gt;&gt;

## Exam Appointments

&lt;&lt;No Exam Appointments found for this Individual.&gt;&gt;

## Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates	Exam Validity
S4	19272009	Window Expired	01/04/2001				08/25/2000- 12/23/2000	N/A
S6	19272014	Official Result	02/21/1989	02/21/1989	Failed	68	-	N/A
S7	19272018	Official Result	08/19/1989	08/19/1989	Passed		-	Expired
S24	19272002	Official Result	12/27/1995	12/27/1995	Passed		-	Expired
S27	19272008	Window Expired	05/05/2005				01/04/2005- 05/04/2005	N/A
S27	19272007	Window Expired	02/20/1998			0	-	N/A
S27	19272006	Window Expired	04/04/1997			0	-	N/A
S27	19272005	Window Expired	07/25/1996			0	-	N/A
S27	19272004	Window Expired	02/07/1996			0	-	N/A
S27	19272003	Window Expired	09/09/1995			0	-	N/A
S55	19272013	Official Result	11/27/2000	11/24/2000	Passed		10/28/2000-	Expired

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Individual 1927084 - FICETO, TODD MICHAEL

**Administrative Information****Exam History**

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates	Exam Validity
							02/25/2001	
S63	19727015	Official Result	08/28/1989	08/28/1989	Passed	-		Expired
S65	19727016	Withdraw	05/15/2002			-		N/A
S86	19727019	Window Expired	04/05/2005				05/21/2004-04/04/2005	N/A
S87	19727020	Window Expired	04/05/2005				05/21/2004-04/04/2005	N/A

**CE Regulatory Element Status**

Current CE Status 2YEARTERMED

**CE Base Date****CE Appointments**

&lt;&lt;No CE Appointments found for this Individual.&gt;&gt;

**Current CE**

&lt;&lt;No Current CE found for this Individual.&gt;&gt;

**Next CE**

&lt;&lt;No Next CE found for this Individual.&gt;&gt;

**CE Directed Sequence History**

Source	Type of Penalty	Date of Action	Effective Date
FINRA	SEQUENCE	09/24/2003	01/16/2005
FINRA	SEQUENCE	06/03/2002	07/18/2002
FINRA	SEQUENCE	02/16/1996	04/01/1996

**Inactive CE History Dates**

From	05/16/2010	To	09/30/2011
From	07/30/2001	To	08/08/2001

**Previous CE Requirement Status**

Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result
Anniversary	31900407	201	CEINACTIVE	05/16/2010	01/16/2010-05/15/2010	
Anniversary	31900407	201	REQUIRED	01/18/2010	01/16/2010-05/15/2010	
Anniversary	30883751	201	SATISFIED	05/08/2007	01/16/2007-05/15/2007	05/08/2007 - CMPLT
Anniversary	30883751	201	REQUIRED	01/17/2007	01/16/2007-05/15/2007	
Directed Sequence	30083823	201	SATISFIED	05/04/2005	01/16/2005-05/15/2005	05/04/2005 - CMPLT
Directed Sequence	30083823	201	REQUIRED	01/17/2005	01/16/2005-	

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**Individual 1927084 - FICETO, TODD MICHAEL****Administrative Information****Previous CE Requirement Status**

Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result
					05/15/2005	
Anniversary	29938302	201	SATISFIED	10/26/2004	07/18/2004-11/14/2004	10/26/2004 - CMPLT
Anniversary	29938302	201	REQUIRED	07/19/2004	07/18/2004-11/14/2004	
Directed Sequence	29354924	201	SATISFIED	11/06/2002	07/18/2002-11/14/2002	11/06/2002 - CMPLT
Directed Sequence	29354924	201	REQUIRED	07/18/2002	07/18/2002-11/14/2002	
Anniversary	29034972	201	SATISFIED	08/08/2001	04/01/2001-07/29/2001	08/08/2001 - CMPLT
Anniversary	29034972	201	CEINACTIVE	07/30/2001	04/01/2001-07/29/2001	
Anniversary	29034972	201	REQUIRED	04/01/2001	04/01/2001-07/29/2001	
Anniversary	28365541	201		07/29/1998	04/01/1998-07/29/1998	07/29/1998 - CMPLT
Anniversary	28365541	201	SATISFIED	07/29/1998	04/01/1998-07/29/1998	
Directed Sequence	28037893	101		08/14/1996	04/01/1996-08/17/1996	08/14/1996 - CMPLT
Directed Sequence	28037893	101		04/19/1996	04/01/1996-08/17/1996	
Anniversary	27890384	101			08/22/1994-12/19/1994	
Anniversary	27666673	101			08/22/1991-12/19/1991	

**Filing History**

Date	Type	Submitted by
09/17/2013	U6 CRD Individual	United States Securities and Exchange Commission
03/02/2011	U6 CRD Individual	United States Securities and Exchange Commission
10/01/2009	U5 Full	HUNTER WORLD MARKETS, INC. (38755)
08/19/2009	BR Filing	HUNTER WORLD MARKETS, INC. (38755)
06/25/2009	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
04/29/2008	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
01/28/2008	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
06/20/2007	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
03/08/2007	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
07/29/2006	U4 Conversion	HUNTER WORLD MARKETS, INC. (38755)
06/22/2006	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
02/06/2006	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/16/2005	BR Filing	HUNTER WORLD MARKETS, INC. (38755)
12/02/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)

**CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.**



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Individual 1927084 - FICETO, TODD MICHAEL

## Administrative Information

## Filing History

Date	Type	Submitted by
04/18/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
03/02/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
01/25/2005	U6 CRD Individual	National Association of Securities Dealers
01/12/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
01/07/2005	U6 CRD Individual	National Association of Securities Dealers
01/05/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
01/03/2005	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/16/2004	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/13/2004	U6 CRD Individual	National Association of Securities Dealers
05/20/2004	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
05/20/2004	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
04/12/2004	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
03/19/2004	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/12/2003	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
10/27/2003	U6 CRD Individual	National Association of Securities Dealers
09/30/2003	U6 CRD Individual	National Association of Securities Dealers
07/22/2003	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
02/04/2003	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
01/22/2003	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/10/2002	U5 Partial	HUNTER WORLD MARKETS, INC. (38755)
12/10/2002	U4 Dual	TODD MICHAEL ASSET MANAGEMENT,LLC (123814)
11/27/2002	U6 CRD Individual	National Association of Securities Dealers
09/26/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
09/05/2002	U5 Partial	HUNTER WORLD MARKETS, INC. (38755)
08/23/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
08/09/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
06/13/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
06/11/2002	U6 CRD Individual	National Association of Securities Dealers
05/15/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
04/08/2002	U4 RA Transition	HUNTER WORLD MARKETS, INC. (38755)
03/26/2002	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
09/04/2001	U5 Amendment	FINRA
08/27/2001	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
12/12/2000	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
10/03/2000	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
08/24/2000	U4 Amendment	HUNTER WORLD MARKETS, INC. (38755)
07/07/1999	U6 CRD Individual	National Association of Securities Dealers
07/07/1999	U5 Conversion	
07/06/1999	U4 Conversion	HUNTER WORLD MARKETS, INC. (38755)
07/05/1999	U5 Conversion	HUNTER WORLD MARKETS, INC. (38755)
07/05/1999	U4 Conversion	HUNTER WORLD MARKETS, INC. (38755)
07/05/1999	U5 Conversion	BIRCHTREE FINANCIAL SERVICES LLC (15014)

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**Administrative Information****Filing History**

Date	Type	Submitted by
07/05/1999	U4 Conversion	BIRCHTREE FINANCIAL SERVICES LLC (15014)
07/05/1999	U5 Conversion	HILLTOP SECURITIES INDEPENDENT NETWORK INC. (17587)
07/05/1999	U4 Conversion	HILLTOP SECURITIES INDEPENDENT NETWORK INC. (17587)
07/05/1999	U5 Conversion	SMITH, BENTON & HUGHES, INC. (20877)
07/05/1999	U4 Conversion	SMITH, BENTON & HUGHES, INC. (20877)
07/05/1999	U5 Conversion	PACIFIC CORTEZ SECURITIES INCORPORATED (24341)
07/05/1999	U4 Conversion	PACIFIC CORTEZ SECURITIES INCORPORATED (24341)
07/05/1999	U5 Conversion	BURNETT, GREY & CO., INC. (23430)
07/05/1999	U4 Conversion	BURNETT, GREY & CO., INC. (23430)
07/05/1999	U5 Conversion	FIRST AMERICAN BILTMORE SECURITIES, INC. (17585)
07/05/1999	U4 Conversion	FIRST AMERICAN BILTMORE SECURITIES, INC. (17585)
07/05/1999	U5 Conversion	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC (11025)
07/05/1999	U4 Conversion	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC (11025)
07/05/1999	U5 Conversion	ROBERT TODD FINANCIAL CORP. (7423)
07/05/1999	U4 Conversion	ROBERT TODD FINANCIAL CORP. (7423)
07/05/1999	U5 Conversion	VANDERBILT SECURITIES, INC. (14280)
07/05/1999	U4 Conversion	VANDERBILT SECURITIES, INC. (14280)
07/05/1999	U5 Conversion	J. T. MORAN & CO., INC. (15655)
07/05/1999	U4 Conversion	J. T. MORAN & CO., INC. (15655)
07/05/1999	U5 Conversion	FORESTERS FINANCIAL SERVICES, INC. (305)
07/05/1999	U4 Conversion	FORESTERS FINANCIAL SERVICES, INC. (305)

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Individual 1927084 - FICETO, TODD MICHAEL

## Reportable Events

## Number of Reportable Events

Bankruptcy	0
Bond	0
Civil Judicial	1
Criminal	0
Customer Complaint	0
Internal Review	1
Investigation	0
Judgment/Lien	0
Regulatory Action	3
Termination	0

Occurrence#	162745	Disclosure Type	Regulatory Action
FINRA Public Disclosable	Yes	Reportable	Yes
Material Difference in Disclosure	No		

Filing ID	62087	Form (Form Version)	U4 (08/1999)
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Filing Date	07/06/1999
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Source	38755 - HUNTER WORLD MARKETS, INC.
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## Disclosure Questions Answered

Regulatory Action DRP	DRP Version	10/2005
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- Regulatory action initiated by: NASD
- Principal sanction:  
Other sanction(s):
- Date Initiated/Explanation: 02/16/1996
- Docket/Case#: C02960005
- Employing firm:
- Principal product type:  
Other product type(s):
- Allegation(s): VIOLATION OF PENNY STOCK RULE
- Current status: Final
- Appealed to:
- Resolution: Acceptance, Waiver & Consent(AWC)
- Resolution date/Explanation: 02/16/1996
- A. Resolution detail: Monetary/Fine Sanction (Amount: \$9,541.00), Suspension Sanction, Censure Sanction

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Individual 1927084 - FICETO, TODD MICHAEL

## Reportable Events

## Regulatory Action DRP

DRP Version 10/2005

B. Other sanction(s)  
ordered:

C. Sanction detail:

AWC-AND TO PAY FINE. (\$2500.00 + REPAY  
COMMISSIONS OF \$7155.75. PAYMENT OF 25% OF TOTAL HAS BEEN  
PAID  
AND BALANCE WILL BE PAID IN MONTHLY INSTALLMENTS OF \$500.00)  
CANNOT RECOMEND PANNY STOCKS FOR TWO YEARS

13. Comment:

ENTERED INTO AWC AND AGREED TO PAY FINE

Filing ID 163891

Form (Form Version) U6 (08/1999)

Filing Date 07/07/1999

Source FINRA

## Disclosure Questions Answered

## Regulatory Action DRP

DRP Version 10/2005

1. Regulatory action initiated by: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

2. Principal sanction:

Other sanction(s):

3. Date Initiated/Explanation: 02/16/1996

4. Docket/Case#: C02960005

5. Employing firm:

6. Principal product type:

Other product type(s):

7. Allegation(s):

8. Current status: Final

9. Appealed to:

10. Resolution: Acceptance, Waiver &amp; Consent(AWC)

11. Final order:

12. Resolution date/Explanation: 02/16/1996

13. A. Resolution detail: Monetary/Fine Sanction (Amount: \$9,541.00), Suspension Sanction,  
Censure SanctionB. Other sanction(s)  
ordered:

C. Sanction detail:

14. Comment:

ON FEBRUARY 16, 1996, DISTRICT NO. 2 NOTIFIED RESPONDENT  
TODD M. FICETO THAT THE LETTER OF ACCEPTANCE, WAIVER AND  
CONSENT NO. C02960005 WAS ACCEPTED; THEREFORE, HE IS

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## Reportable Events

## Regulatory Action DRP

DRP Version 10/2005

CENSURED,  
FINED \$9,541, AND SUSPENDED FROM RECOMMENDING ANY  
TRANSACTIONS  
IN PENNY STOCKS AS THE TERM IS DEFINED IN SEC RULE 3a51-1  
FOR  
TWO YEARS - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR  
PRACTICE - RESPONDENT FICETO EFFECTED 18 TRANSACTIONS IN  
A  
PENNY STOCK WHICH AMOUNTED TO APPROXIMATELY \$36,500 AND  
IN  
CONNECTION WITH SUCH TRANSACTIONS, FAILED TO: PROVIDE TO  
EACH  
CUSTOMER A DOCUMENT CONTAINING THE INFORMATION SET  
FORTH IN THE  
PENNY STOCK RISK DISCLOSURE DOCUMENT; DISCLOSE TO EACH  
CUSTOMER  
THE INSIDE BID AND OFFER QUOTATION AND THE NUMBER OF  
SHARES TO  
WHICH THE BIDS AND OFFER APPLIED; DISCLOSE TO EACH  
CUSTOMER THE  
AGGREGATE AMOUNT OF COMPENSATION HE RECEIVED IN  
CONNECTION WITH  
SUCH TRANSACTIONS; AND, DELIVER TO EACH CUSTOMER A  
WRITTEN  
SUITABILITY STATEMENT PREPARED IN ACCORDANCE WITH SEC  
RULE  
15g-9).

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF  
BUSINESS APRIL  
15, 1996 AND WILL CONCLUDE APRIL 15, 1998.

\*\*\$9,541.00 FULLY PAID AS OF 8/8/97 [INTEREST-\$531.74], INVOICE  
#96-02-136\*\*

<b>Occurrence#</b>	351644	<b>Disclosure Type</b>	Internal Review
<b>FINRA Public Disclosable</b>	No	<b>Reportable</b>	Yes
<b>Material Difference in Disclosure</b>	No		

<b>Filing ID</b>	8652416	<b>Form (Form Version)</b>	U5 (08/1999)
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<b>Filing Date</b>	09/04/2001
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<b>Source</b>	17585 - FIRST AMERICAN BILTMORE SECURITIES, INC.
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## Disclosure Questions Answered

## Internal Review DRP

DRP Version 10/2005

## Part I

1. Notice received from:
2. Date initiated/Explanation:

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## Reportable Events

## Internal Review DRP

DRP Version 10/2005

3. Details:

FOUND WE HAD INADEQUATE RECORDS WHICH WERE PART OF ONE OF OUR BRANCH OFFICES. REQUESTED FORMS BE SENT. HAVE NOT RECEIVED AFTER REPEATED REQUESTS. THIS RECURRED AFTER INQUIRY ON STOCKS THAT HAD BEEN TRADED BY BROKERS AT THE LOCATION. CURRENT STATUS: WAITING FOR HIM TO RETURN CUSTOMER FILES

4. Date concluded/ Explanation:

## Part II

Summary:

<b>Occurrence#</b>	1078636	<b>Disclosure Type</b>	Regulatory Action
<b>FINRA Public Disclosable</b>	Yes	<b>Reportable</b>	Yes
<b>Material Difference in Disclosure</b>	No		
<b>Filing ID</b>	10117109	<b>Form (Form Version)</b>	U4 (03/2002)
<b>Filing Date</b>	06/13/2002		
<b>Source</b>	38755 - HUNTER WORLD MARKETS, INC.		
<b>Disclosure Questions Answered</b>	14E(2)		

## Regulatory Action DRP

DRP Version 10/2005

1. Regulatory action initiated by: NASD REGUALTION, INC.

2. Principal sanction:

Other sanction(s):

3. Date Initiated/Explanation: 05/14/2002

4. Docket/Case#: C02020026

5. Employing firm: VMR CAPITAL MARKETS US

6. Principal product type: Equity - OTC

Other product type(s):

7. Allegation(s): WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TODD FICETO CONSENTED TO THE ENTRY OF FINDINGS THAT ACTING THROUGH HIS MEMBER FIRM, FAILED TO REPORT CUSTOMER COMPLAINTS TO THE NASD; TODD FICETO ACTING THROUGH HIS MEMBER FIRM, EXECUTED EQUITY SECURITY TRANSACTIONS WITHOUT BEING REGISTERED AS AN EQUITY TRADER.

8. Current status: Final

9. Appealed to:

10. Resolution: Acceptance, Waiver &amp; Consent(AWC)

11. Resolution date/Explanation: 06/03/2002

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## Reportable Events

<b>Regulatory Action</b>	<b>DRP</b>	<b>Version</b>	10/2005
12. A. Resolution detail:	Monetary/Fine Sanction (Amount: \$12,500.00), Censure Sanction		
B. Other sanction(s) ordered:			
C. Sanction detail:	CENSURED AND FINED \$12,500 JOINTLY AND SEVERALLY.		
13. Comment:			

<b>Filing ID</b>	10103573	<b>Form (Form Version)</b>	U6 (08/1999)
<b>Filing Date</b>	06/11/2002		
<b>Source</b>	FINRA		
<b>Disclosure Questions Answered</b>			

<b>Regulatory Action</b>	<b>DRP</b>	<b>Version</b>	10/2005
1. Regulatory action initiated by:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.		
2. Principal sanction:			
Other sanction(s):			
3. Date Initiated/Explanation:	06/03/2002 EXACT DATE AWC INITIATED UNKNOWN		
4. Docket/Case#:	C02020026		
5. Employing firm:	VMR CAPITAL MARKETS US		
6. Principal product type:	No Product		
Other product type(s):			
7. Allegation(s):	NASD RULES 1031(A), 1032(F), 2110 AND 3070 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT ACTING THROUGH HIS MEMBER FIRM, FICETO FAILED TO REPORT CUSTOMER COMPLAINTS TO THE NASD; FICETO ACTING THROUGH HIS MEMBER FIRM, EXECUTED EQUITY SECURITY TRANSACTIONS WITHOUT BEING REGISTERED AS AN EQUITY TRADER.		
8. Current status:	Final		
9. Appealed to:			
10. Resolution:	Acceptance, Waiver & Consent(AWC)		
11. Final order:			
12. Resolution date/Explanation:	06/03/2002		
13. A. Resolution detail:	Monetary/Fine Sanction (Amount: \$12,500.00), Censure Sanction		
B. Other sanction(s) ordered:			
C. Sanction detail:	CENSURED AND FINED \$12,500 JOINTLY AND SEVERALLY.		

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Exhibit 608



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## Reportable Events

## Regulatory Action DRP

DRP Version 10/2005

14. Comment:

<b>Occurrence#</b>	1109681	<b>Disclosure Type</b>	Regulatory Action
<b>FINRA Public Disclosable</b>	Yes	<b>Reportable</b>	Yes
<b>Material Difference in Disclosure</b>	No		

<b>Filing ID</b>	15026443	<b>Form (Form Version)</b>	U4 (06/2003)
<b>Filing Date</b>	03/02/2005		
<b>Source</b>	38755 - HUNTER WORLD MARKETS, INC.		
<b>Disclosure Questions Answered</b>	14E(4),14E(2)		

## Regulatory Action DRP

DRP Version 10/2005

1. Regulatory action initiated by: NATIONAL ASSOCIATION OF SECURITIES DELAERS, INC.

2. Principal sanction:

Other sanction(s):

3. Date Initiated/Explanation: 11/19/2002

4. Docket/Case#: C02020055

5. Employing firm: VMR CAPITAL MARKETS US

6. Principal product type: No Product

Other product type(s):

7. Allegation(s): NASD RULES 2110 AND 3010 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE A NEW EMPLOYEE WHO EXCESSIVELY TRADED CUSTOMER ACCOUNTS.

8. Current status: Final

9. Appealed to:

10. Resolution: Decision

11. Resolution date/Explanation: 12/02/2004

12. A. Resolution detail: Monetary/Fine Sanction (Amount: \$40,000.00), Suspension Sanction, Censure Sanction

B. Other sanction(s) ordered:

C. Sanction detail: NAC DECISION RENDERED DECEMBER 2, 2004, WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS IMPOSED ARE MODIFIED, THEREFORE, RESPONDENT FICETO IS CENSURED, FINED \$40,000, JOINTLY AND SEVERALLY, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ALL SUPERVISORY CAPACITIES FOR 15 BUSINESS DAYS, AND ORDERED TO PAY \$2,548.69 IN COSTS OF THE HEARING. DECISION BECOME FINAL JANUARY 6, 2005. THE



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## Reportable Events

## Regulatory Action DRP

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SUSPENSION EFFECTIVE WITH THE OPENING OF BUSINESS ON FEBRUARY 22, 2005, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON MARCH 14, 2005.

13. Comment:

HEARING PANEL DECISION RENDERED SEPTEMBER 24, 2003, WHEREIN RESPONDENT IS CENSURED AND FINED \$25,000, JOINTLY AND SEVERALLY AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ALL SUPERVISORY CAPACITIES FOR 15 BUSINESS DAYS. THE HEARING PANEL ALSO ORDERED RESPONDENTS TO PAY THE \$2,548.69 COSTS OF THE HEARING. \*\* APPEALED TO THE NAC ON 10/21/2003.

Filing ID 14857250  
Filing Date 01/25/2005  
Source FINRA  
Disclosure Questions Answered

Form (Form Version) U6 (06/2003)

## Regulatory Action DRP

DRP Version 10/2005

1. Regulatory action initiated by: NASD

2. Principal sanction:

Other sanction(s):

3. Date Initiated/Explanation: 11/19/2002

4. Docket/Case#: C02020055

5. Employing firm: VMR CAPITAL MARKETS US

6. Principal product type: No Product

Other product type(s):

7. Allegation(s): NASD RULES 2110 AND 3010 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE A NEW EMPLOYEE WHO EXCESSIVELY TRADED CUSTOMER COMPLAINTS AND ACHIEVE COMPLIANCE WITH APPLICABLE NASD RULES.

8. Current status: Final

9. Appealed to:

10. Resolution: Decision

11. Final order: No

12. Resolution date/Explanation: 12/02/2004

13. A. Resolution detail: Monetary/Fine Sanction (Amount: \$40,000.00), Suspension Sanction, Censure Sanction

B. Other sanction(s)  
ordered:

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## Reportable Events

## Regulatory Action DRP

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C. Sanction detail:

NAC DECISION RENDERED DECEMBER 2, 2004, WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS IMPOSED ARE MODIFIED, THEREFORE, RESPONDENT FICETO IS CENSURED, FINED \$40,000, JOINTLY AND SEVERALLY, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ALL SUPERVISORY CAPACITIES FOR 15 BUSINESS DAYS, AND ORDERED TO PAY \$2,548.69 IN COSTS OF THE HEARING. DECISION BECAME FINAL JANUARY 6, 2005. THE SUSPENSION EFFECTIVE WITH THE OPENING OF BUSINESS ON FEBRUARY 22, 2005, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON MARCH 14, 2005.

14. Comment:

HEARING PANEL DECISION RENDERED SEPTEMBER 24, 2003, WHEREIN RESPONDENT IS CENSURED AND FINED \$25,000, JOINTLY AND SEVERALLY AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ALL SUPERVISORY CAPACITIES FOR 15 BUSINESS DAYS. THE HEARING PANEL ALSO ORDERED RESPONDENTS TO PAY THE \$2,548.69 COSTS OF THE HEARING. \* APPEALED TO THE NAC ON 10/21/2003.

## Occurrence#

1551157

## Disclosure Type

Civil Judicial Action

## FINRA Public Disclosable

No

## Reportable

Yes

## Material Difference in Disclosure

No

## Filing ID

35250146

## Form (Form Version)

U6 (05/2009)

## Filing Date

09/17/2013

## Source

United States Securities and Exchange Commission

## Disclosure Questions Answered

## Civil Judicial DRP

DRP Version 05/2009

1 A. Court action initiated by:

Securities and Exchange Commission

B. Name of party initiating the proceeding:

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Relief sought:

Civil and Administrative Penalty(ies)/Fine(s)  
 Disgorgement  
 Injunction  
 Monetary Penalty other than Fines  
 Other: PENNY STOCK BAR; OFFICER/DIRECTOR BAR

3. Court action:

A. Filing date/Explanation:

02/24/2011

B. Date notice/process was served/Explanation:

4. Product type(s):

Equity-OTC  
 Penny Stock  
 Other: HEDGE FUND

5. Formal action brought in:

Federal Court

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## Reportable Events

## Civil Judicial DRP

DRP Version 05/2009

- A. Name of court: UNITED STATES DISTRICT COURT FOR THE CENTRAL DISTRICT OF CALIFORNIA
- B. Location of court: CALIFORNIA
- C. Docket/Case#: 11-CV-1637
6. Employing firm: HUNTER WORLD MARKETS INC.; HUNTER ADVISORS, LLC
7. Allegation(s): SEC LITIGATION RELEASE 21865, FEBRUARY 25, 2011: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") CHARGED TODD M. FICETO WITH BEING INVOLVED IN A SCHEME THAT MANIPULATED SEVERAL MICROCAP STOCKS AND GENERATED MORE THAN \$63 MILLION IN ILLICIT PROCEEDS THROUGH STOCK SALES, COMMISSIONS AND SALES CREDITS. THE COMMISSION ALLEGED THAT FICETO VIOLATED SECTION 17(A) OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND RULE 10B-5 THEREUNDER AND SECTIONS 206(1) AND 206(2) OF THE INVESTMENT ADVISERS ACT OF 1940 ("ADVISERS ACT") AND AIDED AND ABETTED VIOLATIONS OF SECTIONS 15(C)(1) AND 17(A) OF THE EXCHANGE ACT AND RULE 17A-4(B)(4) THEREUNDER AND SECTIONS 206(1) AND 206(2) OF THE ADVISERS ACT.

THE COMMISSION ALLEGED THAT FICETO CONDUCTED THE SCHEME THROUGH HIS BROKER-DEALER. FICETO BOUGHT MICROCAP COMPANIES PUBLIC THROUGH REVERSE MERGERS AND MANIPULATED UPWARDS THE STOCK PRICES OF THESE THINLY-TRADED STOCKS BEFORE SELLING THEIR SHARES AT INFLATED PRICES TO EIGHT OFFSHORE HEDGE FUNDS. FICETO'S MANIPULATION OF THE STOCK PRICES ALLOWED ANOTHER SCHEME PARTICIPANT TO MATERIALLY OVERSTATE BY AT LEAST \$440 MILLION THE HEDGE FUNDS' PERFORMANCE AND NET ASSET VALUES ("NAVS") IN A FRAUDULENT PRACTICE KNOWN AS "PORTFOLIO PUMPING."

THE COMMISSION ALLEGED THAT FICETO CONDUCTED THE SCHEME FROM SEPTEMBER 2005 TO SEPTEMBER 2007. ANOTHER SCHEME PARTICIPANT MISUSED THE ASSETS OF THE HEDGE FUNDS TO ALLOW FICETO AND OTHER PARTICIPANTS TO MANIPULATE UPWARD THE PRICES OF MICROCAP STOCKS IN WHICH THE HEDGE FUNDS HELD A POSITION. FICETO USED A NUMBER OF CLASSIC MANIPULATIVE TECHNIQUES SUCH AS PLACING MATCHED ORDERS, PLACING ORDERS THAT MARKED THE CLOSE OR OTHERWISE SET THE CLOSING PRICE FOR THE DAY, AND CONDUCTING WASH SALES. THE MANIPULATION ENABLED FICETO TO GENERATE ENORMOUS PROFITS THROUGH FICETO'S OWNERSHIP OF A BROKER-DEALER AND THE SALE OF THE MICROCAP STOCK SHARES TO THE HEDGE FUNDS AT INFLATED PRICES. FICETO GARNERED FURTHER ILLICIT PROFITS THROUGH HIS CONTROL OF ANOTHER COMPANY, WHICH DIRECTED THE INVESTMENT ACTIVITIES OF A "FUND OF FUNDS" THAT ALSO PARTICIPATED IN THE STOCK MANIPULATION.

THE COMMISSION ALLEGED THAT THE PRINCIPAL TRADERS AT FICETO'S BROKER-DEALER AND THE LONDON-BASED HEDGE FUNDS

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MANAGER EXCHANGED HUNDREDS OF INSTANT MESSAGES ("IMS") THAT WERE RECORDED ON A SECRET, ALTERNATE MESSAGING SYSTEM THAT ALLOWED THEM TO COMMUNICATE FREELY WITHOUT FEAR THAT THEIR SCHEME WOULD BE DETECTED BY THE COMMISSION. AS REFLECTED IN THOSE SECRET IM MESSAGES, THE HEDGE FUNDS MANAGER'S TRADER WOULD INSTRUCT FICETO OR A TRADER ACTING UNDER FICETO'S DIRECTION TO PLACE MATCHED ORDERS, TRANSACTIONS THAT MARKED THE CLOSE, OR WASH SALES FOR THE PURPOSE OF ARTIFICIALLY RAISING OR STABILIZING THE MICROCAP STOCK PRICES.

8. Current status: Pending

9. Limitations or restrictions while pending: N/A

10. If on appeal:

A. Action appealed to:

B. Court location:

C. Docket/Case#:

D. Date appeal filed/Explanation:

E. Appeal details:

F. Limitations or restrictions while on appeal:

11. Resolution detail:

A. Resolution:

B. Resolution date/Explanation:

12. Sanction detail:

A. Sanction detail:

B. Other sanctions:

C. Enjoined:

D. Monetary Sanction:

13. Comment:

ON JULY 2, 2013, THE ACTION IS STAYED PENDING THE RESOLUTION OF A CRIMINAL PROCEEDING AGAINST ANOTHER DEFENDANT AND CASE ADMINISTRATIVELY CLOSED UNTIL FURTHER ORDER OF THE COURT.

## Regulator Archive and Z Records

Occurrence#	1027961	Disclosure Type	Investigation
FINRA Public Disclosable	No	Reportable	No

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## Regulator Archive and Z Records

Material Difference in Disclosure No

Filing ID	10629849	Form (Form Version)	U4 (03/2002)
Filing Date	09/26/2002		
Source	38755 - HUNTER WORLD MARKETS, INC.		
Disclosure Questions Answered	14G(2)		

Investigation DRP DRP Version 10/2005

1. Notice received from: NASD REGULATION, INC.
2. Notice date/Explanation: 08/14/2001
3. Nature of investigation: NASD INVESTIGATION CLOSED RESULTING IN AWC DOCKET/CASE NUMBER C02020026, FILED ON A REGULATORY DRP.
4. Date resolved/Explanation: 06/03/2002

Occurrence#	1386293	Disclosure Type	Civil Judicial Action
FINRA Public Disclosable	No	Reportable	No
Material Difference in Disclosure	No		

Filing ID	23037181	Form (Form Version)	U4 (10/2005)
Filing Date	04/29/2008		
Source	38755 - HUNTER WORLD MARKETS, INC.		
Disclosure Questions Answered	14H(2)		

Civil Judicial DRP DRP Version 10/2005

1. Court action initiated by: JACK J. GRYNBERG AND PRICASPIAN DEVELOPMENT CORPORATION
2. Principal relief sought: Money Damages (Private/Civil Complaint)  
Other relief sought:
3. Filing date/Explanation: 01/03/2008
4. Principal product type: Other  
Other product type(s): PRIVATE PLACEMENTS
5. Formal action brought in: DISTRICT COURT, CITY AND COUNTY OF DENVER, COLORADO  
CASE NO. 2008 CV-000038
6. Employing firm: HUNTER WORLD MARKETS, INC.
7. Allegation(s): STATE COURT COMPLAINT FILED IN DENVER, COLORADO  
ALLEGES THAT TODD FICETO AND HUNTER WORLD MARKETS, INC. ASSISTED AN INVESTMENT ADVISER IN DEFRAUDING HEDGE FUND INVESTORS.
8. Current status: Final
9. Court/Date appealed to:
10. Date served/Explanation:
11. Resolution: Dismissed

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Regulator Archive and Z Records

Civil Judicial DRP

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12. Resolution date/ Explanation: 01/04/2008

13. A. Resolution detail:

B. Other sanction(s) ordered:

C. Sanction detail:

14. Comment: HUNTER WORLD MARKETS, INC. AND TODD FICETO DENY THAT THEY ENGAGED IN ANY ALLEGED MISCONDUCT AND DENY THAT THEY ARE LIABLE TO THE NON-CLIENTS WHO HAVE FILED THIS LAWSUIT.

ON 4/15/08 THE PLAINTIFFS FILED THE NOTICE OF DISMISSAL OF ACTION PURSUANT TO F.R.C.P. 41(A)(1)(A)(I) WITHOUT PREJUDICE.

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